

DoD Directive 5106.1<sup>1</sup>—to personnel, documents, and records; and provide suitable working facilities and arrangements.

(5) Ensure, under reporting requirements outlined in paragraphs (c)(3) (vii), (viii), and (ix) that reports are promptly submitted to the referring audit, inspection, or investigative organization. Also, completion reports should reflect administrative, corrective, punitive, or other type action taken on cases referred to them for resolution.

(6) Maintain an active Defense Hotline publicity campaign, using local newspapers, official notices, posters, telephone directories, and other media. Implement education programs to encourage employees to identify and report fraud and mismanagement in DoD programs and operations.

#### §98.6 Procedures.

(a) Methods for processing and controlling the receipt, examination, and reporting of all allegations referred to DoD Components for audit, inspection, and investigation through the Defense Hotline Program are addressed in this section and §98.5 and include procedures to track, monitor, and follow up on allegations referred to the Defense Hotline, regardless of source. Sources of allegations include The White House, Members of Congress, the GAO Hotline, Office of Management and Budget (OMB), other executive agency hotlines, DoD staff activities, and individuals communicating directly with the IG, DoD.

(b) Necessary controls shall be established to provide maximum protection for the identity of users of the Defense Hotline. Individuals shall be ensured that they can report instances of fraud and mismanagement without fear of reprisal or unauthorized disclosure of identity, as provided in Pub. L. 95-452 and DoD Instruction 7050.3.<sup>2</sup> However, individuals reporting alleged fraud and mismanagement should be encouraged to identify themselves to the Defense

Hotline so that the Defense Hotline staff can recontact the source if additional information is needed.

(c) All substantive allegations received by the Defense Hotline shall be examined. The examination shall normally be conducted by disinterested and qualified auditors, inspectors, or investigators. When necessary, DoD Components may use individuals or groups with other professional or technical skills to assist in conducting examinations under the direct supervision of the responsible audit, inspection, or investigative officials.

(d) The procedures used must ensure that due professional care and organizational independence are observed, and that examinations are impartial and objective. Allegations must be examined by officials independent of the specific unit, office, staff element, operation, etc., in which the complaint is alleged to have occurred.

(e) DoD Components shall encourage personnel to register complaints and grievances through appropriate management and grievance channels, and submit suggestions for management improvements through the proper DoD Incentive Awards Program. There shall be no requirement for any individual who makes complaints or provides information to the IG, DoD, Defense Hotline representatives to discuss such complaints or information with the individual's supervisor or the head of the activity. DoD Components shall encourage the reporting of suspected fraud and mismanagement to the Defense Hotline either through the toll-free 800-424-9098 commercial, FTS 202-693-5080, or AUTOVON 223-5080 telephone system or by mail to the Defense Hotline, The Pentagon, Washington, DC 20301-1900.

#### §98.7 Information requirements.

The reporting requirements in §98.5 are exempt from formal approval and licensing under subsection VII.F. of enclosure 3 to DoD Directive 5000.19.<sup>3</sup>

<sup>1</sup>Copies may be obtained, if needed, from the U.S. Naval Publications and Forms Center, 5801 Tabor Avenue, ATTN: Code 1052, Philadelphia PA 19120.

<sup>2</sup>See footnote 1 to §98.5(c)(4).

<sup>3</sup>See footnote 1 to §98.5(c)(4).